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Date September 4, 2007 Name: John G. Rauch Signature: 

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

For METHOD AND SYSTEM FOR
ENHANCED DISTRIBUTION OF
FINANCIAL INSTRUMENTS

Confirmation No. 2007

**Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450**

In response to the Office Communication dated August 1, 2007, please enter the following Applicant's Interview Summary.

On July 17, 2007, a telephonic interview was had between he undersigned attorney and the Examiner. The following points were made to the Examiner:

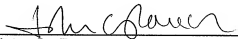
Both the present invention and the Hambrecht reference related to selling of securities or financial instruments. However, the present invention uses market data to set a price for the financial instrument. Hambrecht instead uses an auction among subscribers to set the price. Hambrecht relates to an Initial Public Offering of a security, which is a one-time offering of the security. There is no previous transaction involving the security to use as a basis for modeling the transaction. Because of this distinction, it was submitted that Hambrecht could not anticipate the claimed invention.

Application no. 09/896,760
Interview Summary dated: September 4, 2007
Reply to Communication dated: August 1, 2007

Hambrecht was the only reference discussed. There was no agreement reached on the allowability of the claims.

With this response, the application is believed to be in condition for further action on the merits. Should the examiner deem a telephone conference to be of assistance in advancing the application to allowance, the examiner is invited to call the undersigned attorney at the telephone number below.

Respectfully submitted,

A handwritten signature in dark ink, appearing to read "John G. Rauch", is written over a horizontal line.

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September 4, 2007
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